

## **Exhibit 5**

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# Exhibit 5 - Example of PW Transaction with Check Only Transaction Description

1-M0015-3-0

6/30/04

6/30/04

1-M0015-3-0

	BALANCE FORWARD		37,175,910.49
6/01	MAY MARGIN INTEREST	INT	126,219.72
6/01	CHECK	PW	228,065.00
6/01	TRANS TO 80 ACCT	JRNL	14,000.00
	NEW BALANCE		37,544,195.21
	SECURITY POSITIONS	MKT PRICE	
50,000	AMGEN INC	54.570	
727,900	MICROSOFT CORP	28.560	
50,000	R J REYNOLDS TOBACCO HLDS	67.590	
60,000	SYMANTEC CORP	43.780	
	MARKET VALUE OF SECURITIES		
	LONG	SHORT	
	29,523,624.00		

## Profit Withdrawal

6/01	CHECK	PW	228,065.00
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## **Exhibit 6**

# Exhibit 6 - Example of PW Transaction with Check + Stock Name

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4/30/91

1-00507-1-0

4/30/91

1-00507-1-0

1

T/DT	S/DT	LONG	SHORT		DEBIT	CREDIT
				BALANCE FORWARD		92,417.77
4/05	4/05			CHECK HOME DEPOT	191.94	
4/11	4/11			CHECK CLAYTON	3,001.71	
4/26	4/26			CHECK		5,000.00
4/30	4/30	9	154	FIDELITY CASH RESERVES SBI	9.00	
4/30	4/30	5000	659	FIDELITY CASH RESERVES SBI	5,000.00	
				NEW BALANCE		89,215.12
				SECURITY POSITIONS		
					LONG	SHORT
						DIFFERENCE
				CONTEL CORP	2177	85,991.50
				FIDELITY CASH RESERVES SBI	3009	5,009.00
				GTE CORP	2764	89,214.48
				END OF POSITIONS	91,000.50	89,214.48
						.64CR

## Profit Withdrawals

4/05	4/05	CHECK HOME DEPOT	PW	191.94
4/11	4/11	CHECK CLAYTON	PW	3,001.71

MF00489201

TEST IN GIBSON

## **Exhibit 7**

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# Exhibit 7 - Example of PW Transaction with Check + Interest/Dividend Transaction Description

1-G0113-2-0

11/30/99

11/30/99

1 H

1-G0113-2-0

NO BALANCE FORWARD

11/01	CHECK INT 11/1/99	PW	2,500.00	
11/01	CHICAGO IL WTR REV	INT		2,500.00
	5.000 11/01/2007			
	INTEREST 11/1/99			

NEW BALANCE

100,000	SECURITY POSITIONS
	CHICAGO IL WTR REV
	5.000 11/01/2007
100,000	NJ ECO DEV AUTH REV
	4.700 7/01/2004
100,000	OREGON HLT REV
	4.750 7/01/2006

## Profit Withdrawals

11/01	CHECK INT 11/1/99	PW	2,500.00
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## **Exhibit 8**

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Exhibit 8 - Example of PW Transaction with Other Distributions  
Part 3 Pg 8 of 74  
Transaction Description

12/31/91

1-02030-1-C

12/31/91

1-02030-1-C

1

T/DT	S/DT	LONG	SHORT		DEBIT	CREDIT
BALANCE FORWARD						102,425.26
12/05	12/05			CML	PW	2,989.50
12/05	12/05	3000	123	FIDELITY CASH RESERVES SBI	I	3,000.00
12/05	12/11	3000		FIDELITY CASH RESERVES SBI	DIV	2.47
12/31	12/31	13	674	DIV 12/05/91 FIDELITY CASH RESERVES SBI	1	13.00
NEW BALANCE						102,425.23

SECURITY POSITIONS

LONG

SHORT

DIFFERENCE

FIDELITY CASH RESERVES SBI	13		13.00			13.00
MICHAELS STORES	6600			102,425.00		
MICHAELS STORES	6600			99,990.00		
LWT+6.90=1COM EXP 11/15/91						2,435.00CK
END OF POSITIONS				100,003.00	102,425.00	.23CR

Profit Withdrawals

12/05 12/05 | CML | PW | 2,989.50

MF00474553



## **Exhibit 9**

# MADOFF INVESTMENT SECURITIES

## HOUSE 17 MANUAL

AUGUST 1995

## CONTENTS

ODDS & ENDS  
JOBS YOU CAN RUN SIMULTANEOUSLY  
DECIMAL EQUIVALENT  
C/S ENTRY  
C/S CODES  
C/S RUNNING  
CONVERSION  
TRADING  
PUNCHED  
BATCH  
BASKET  
AUTOMATED BASKET  
RUNNING TRADES  
RENAMING TRADES  
WHEN ISSUE TRADES  
SETUPS  
CHECKS  
DAILY  
MONTHLY/QUARTERLY  
EQUITY APPRECIATION  
NAME/ADDRESS MAINTENANCE  
REPORTS  
GROUP NAME LIST  
CUSIP MAINTENANCE  
PRINTOUT OF ENTRY FOR EACH SECURITY TYPE  
DIVIDEND ENTRY  
CURRENT DIV  
AS OF DIV  
PREPARING FOR MONTH END  
RUNNING EOM DIVIDENDS  
PRICES  
ENTRY & REPORT  
SWEEPS  
MONTH END LOG  
MONTH END REPORTS  
ANNETTE'S MONTH END REPORTS  
REPORTS  
STOCK RECORD  
LONG POSITION  
PORTFOLIO  
SPECIAL / BUYING POWER  
ARBITRAGE  
FIXING STATEMENT  
1099 FORMS

## ODDS AND ENDS

TO CHECK DTC REPORT (FROM HOUSE 05)

GO TO MENU MADF17 #2 (DISPLAY STOCK RECORD)

ENTER SYMBOL --> ENTER

IF THERE ARE POSITIONS TEAR OFF PAGE WITH SYMBOL AND GIVE TO ANNETTE. IF THERE ARE NO POSITION TEAR OFF PAGE WITH SYMBOL FOR SHREDDING

\*\*\*\*\*

WEEKLY SAVE OF JOBLOGS (DONE MONDAY AFTERNOON)

MENU BACKUP #2 (USE SAVEJOBLOG DATA CARTRIDGE)

SEND TO VAULT WHEN DATA CARTRIDGE IS FULL.

\*\*\*\*\*

TO INITIALIZE DATA CARTRIDGE

KEY: MENU TAPE #1

SELECT OPTION FROM INITIALIZATION MENU THAT CORRESPONDS TO DATA CARTRIDGE.

\*\*\*\*\*

COLLECT AND SAVE MONEY AND INVESTMENT SECTION OF THE WALL STREET JOURNAL ON A DAILY BASIS.

AT THE END OF EACH MONTH PUT IN ENVELOPE AND GIVE TO FILING ROOM, LABEL ENVELOPE JOURNAL PRICES & MONTH

\*\*\*\*\*

AFTER MONTH END PUT ALL CONVERSION & C/S SHEETS FOR MONTH IN CONVERSION ENVELOPE, LABEL CONVERSION & C/S SHEETS & MONTH/YEAR GIVE TO FILING ROOM

\*\*\*\*\*

FIXING MEMO FORMS

*check*

KEY: SLIB GPLIB --> ENTER

THEN KEY: MEMOPRO1 --> ENTRY SCREEN

THEN KEY: MEMOPRO2 --> PROCESS CORRECTED MEMOS

NOTE \*\*

IF MEMO READS DEBITED YOUR THEN MONIES AND SHARES ARE FIELD

IF MEMO READS CREDITED YOUR THEN MONIES AND SHARE ARE FIELD -

IF THE FOLLOWING JOB IS RUNNING	YOU CAN RUN
DSPST17 (INITIALIZE ACCT ACTIVITY)	CORRECT PORT #2,10.11 NAMENU SETCONV CHECKS (ALL) - MEM04 TRDENTRY - TRAD1701 C/S (ENTRY ONLY) SETUPS (ALL) LONGPOS (ALL) - PORTPRIC
TRDENTRY-TRAD1701	PORT07 - PORT12 PORT #2 -->10,11,14 PORTPRIC LONGPOS (ALL) DSPST17 C/S (ENTRY ONLY) CHECKS (ALL) SETCONV SETUPS - #1,2,3,4,5 DVP LEDGERS & STATEMENT
CASH1732 (CUST LEDGERS)	C/S (ENTRY ONLY) SETUPS MENU #1 & #2 CHECKS (ALL) TRDENTRY PORTPRIC SETCONV
DIV E-0-M	C/S (ENTRY ONLY) LONGPOS - LONGPOS3 SETUPS 1-->4 CHECK (ALL), PRICEPRT
ARBITRAGE PORTFOLIO	TRADES (ALL) EXCEPT SAVE C/S (ALL) EXCEPT SAVE

IF THE FOLLOWING JOB IS RUNNING	YOU CAN RUN
CASH1702 (RUN)	PORTPRIC DVP STAT - DVP LEDGERS BUYING POWER REPORT LONGPOS (ALL) PORT63 TRADE (ENTRY ONLY) CHECKS (ENTRY ONLY) PORT07 -PORT12 SETUPS MENU #1,2,3,4,5
CASH1733 (DVP LEDGERS) " 35 (DVP STAT)	TRADES (ALL) SETCONV C/S (ALL)
STK REC - SPECIAL STK REC CASH1710 - SPECSR01	C/S (ENTRY) SETUPS MENU #1 --> #4 PORTPRIC TRDENTRY
FIXING STATEMENT =====	ANY PROCEDURE =====
CHECKS =====	CASH1710 (STK REC) SPECSR01 (SPECIAL STK REC) LONGPOS (ALL) =====
MENU DIV17 #1 & #2	ANY PROCEDURE
TRADE ENTRY =====	ANY PROCEDURE EXCEPT TRAD1701 =====
C/S ENTRY	ANY PROCEDURE EXCEPT CASH1702

IF THE FOLLOWING JOB IS RUNNING	YOU CAN RUN
SETUPS MENU #1 - #5 ONLY	LONGPOS2 TRDENTRY - TRAD1701 CHECKS C/S (ALL) DVP LEDGERS & STAT
SETUPS #6 - #7	DVP LEDGERS & STAT
CASH1730 (STATEMENT)	C/S (ENTRY ONLY) PORTPRIC LONGPOS2 - LONGPOS3 CHECKS (ALL) SETCONV
PORTPRIC	ANY PROCEDURE
PORT MENU #2-->10,11,14	LONGPOS (ALL) TRADES (ALL) EXCEPT SAVE
LONGPOS2 & LONGPOS3	MENU PORT #1 CHECK (ALL) MENU EACHK #1 & #2
MENU PORT #1	DIV MENU #1 & #2 SETUPS (ALL) TRADES (ALL) EXCEPT SAVE SETCONV

# DECIMAL EQUIVALENTS

$\frac{1}{64}$ .0156	$\frac{17}{64}$ .2656	$\frac{33}{64}$ .5156	$\frac{49}{64}$ .7656
$\frac{1}{32}$ .0312	$\frac{9}{32}$ .2812	$\frac{17}{32}$ .5312	$\frac{25}{32}$ .7812
$\frac{3}{64}$ .0469	$\frac{19}{64}$ .2969	$\frac{35}{64}$ .5469	$\frac{51}{64}$ .7969
$\frac{1}{16}$ .0625	$\frac{5}{16}$ .3125	$\frac{9}{16}$ .5625	$\frac{13}{16}$ .8125
$\frac{5}{64}$ .0781	$\frac{21}{64}$ .3281	$\frac{37}{64}$ .5781	$\frac{53}{64}$ .8281
$\frac{3}{32}$ .0938	$\frac{11}{32}$ .3438	$\frac{19}{32}$ .5938	$\frac{27}{32}$ .8438
$\frac{7}{64}$ .1094	$\frac{23}{64}$ .3594	$\frac{39}{64}$ .6094	$\frac{55}{64}$ .8594
$\frac{1}{8}$ .125	$\frac{3}{8}$ .375	$\frac{5}{8}$ .625	$\frac{7}{8}$ .875
$\frac{8}{64}$ .1406	$\frac{25}{64}$ .3906	$\frac{41}{64}$ .6406	$\frac{57}{64}$ .8906
$\frac{5}{32}$ .1562	$\frac{13}{32}$ .4062	$\frac{21}{32}$ .6562	$\frac{29}{32}$ .9062
$\frac{11}{64}$ .1719	$\frac{27}{64}$ .4219	$\frac{43}{64}$ .6719	$\frac{59}{64}$ .9219
$\frac{3}{16}$ .1875	$\frac{7}{16}$ .4375	$\frac{11}{16}$ .6875	$\frac{15}{16}$ .9375
$\frac{13}{64}$ .2031	$\frac{29}{64}$ .4531	$\frac{45}{64}$ .7031	$\frac{61}{64}$ .9531
$\frac{7}{32}$ .2188	$\frac{15}{32}$ .4688	$\frac{23}{32}$ .7188	$\frac{31}{32}$ .9688
$\frac{15}{64}$ .2344	$\frac{31}{64}$ .4844	$\frac{47}{64}$ .7344	$\frac{63}{64}$ .9844
$\frac{1}{4}$ .25	$\frac{1}{2}$ .5	$\frac{3}{4}$ .75	1 1.0



## ENTER/UPDATE C/S

### MENU CASH17 (#2 MAIN MENU)

#### C/S - CASH & SECURITY SETTLEMENT

This settles all pending files created from trades, check etc. Within a given month C/S is run for every day of the month that is a valid settlement day. It is usually run at the end of the day so that customer information can be updated as of date you are running C/S for.

#### C/S Sheets:

**GREEN SHEET:** Debit codes - For R codes that have 2 account # per record #, if top account is a bank acct then customer acct will be credited. If top account is a customer or if there is only 1 customer acct per record # then customer will be debited

**YELLOW SHEET:** Credit codes - For D codes that have 2 acct # per record #, if top account is a bank acct then customer acct will be debited. If top account is a customer or if there is only 1 customer acct per record then customer will be credited.

#### Codes:

Money trans & checks	Share movement	Exempt int	Fractional shares	Interest & money mkt int	
CA	D	EC	FC	IC	credit
CW	R	ED	FD	ID	debit
PW					

Transfers Sub fee adj	Margin int	Interest	Dividends	Redeem	IRA money transaction	
JC	MC	TC	VC	GC	CT	cr
JD	MD	TD	VD		RL	dr
					DT	

Codes that usually have cusip

VC, VD, FC, GC, EC, TC

IC (money market interest don't need cusip)

JC & JD (sub fees and sub account only - 10/90 & 50/80)

R & D

R & D - Codes with shares and monies  
the customer - long acct  
bank - short acct

R & D - Codes with only shares - no monies -  
such as "expired worthless" or "exercised"  
Bank - long acct  
Customer - short acct

In general if a C/S sheet has two acct # per record # then  
first account (top of c/s sheet) -- the long acct  
second account -- the short acct (unless otherwise indicated)

if only one account then it is the long acct

**DIVIDENDS** - If dividend is put through VD-70 acct then should  
have div adj in the 30 acct (JD) and 70 acct (JC)  
if dividend is put through VC - 30 acct then  
should have div adj in the 70 acct (JC) and 30  
acct (JD)

**REDEEMED STOCK** - Should have debit (R) with shares, cusip,  
acct#'s (no monies) and a credit (GC) with  
cusip, monies (no shares), customer acct  
only (no bank acct#)

**TRANSFERS** - Make sure monies (and share if any) are the same  
for both debit and credit. ("Trans to" - debit  
"Trans from" - credit). Check comment column for  
correct ending - account # or name.

3-4-86

CASH/SECURITIES TRANSACTION CODES

\* codes that usually have cusip

CODE	J/E TYPE	LEDGER CODE	COST	1099 TYPE	ENTRY-TYPE
✓ JC	CR	JRNL	YES	N/A	ADJUSTMENTS, TRANSFERS, SUBSCRIPTION FEES *
✓ JD	DR	JRNL	YES	N/A	ADJUSTMENTS, TRANSFERS, SUBSCRIPTION FEES *
✓ CA	CR	CA	NO	N/A	CAPITAL ADDITIONS (for New 30 days use JC)
✓ CW	DR	CW	NO	N/A	CAPITAL WITHDRAWALS, w/H TAX Div
✓ PW	DR	PW	NO	N/A	PROFIT CHECKS
✓ D	CR	DELV	NO	N/A	DELIVER SHARES
✓ R	DR	RECD	NO	N/A	RECEIVE SHARES
* ✓ FC	CR	JRNL	YES	B	FRACTIONAL SHARES -
✓ FD	DR	JRNL	YES	B	FRACTIONAL SHARES
* ✓ GC	CR	JRNL	YES	B	GROSS SALE JOURNAL CREDITS (if no cusip, use JC)
✓ MC	CR	MGN INT	NO	N/A	MARGIN INTEREST
✓ MD	DR	MGN INT	NO	N/A	MARGIN INTEREST
* ✓ IC	CR	INT	NO	INT	TAXABLE INTEREST ON DEBT OBLIGATIONS (interest not tax)
✓ ID	DR	INT	NO	N/A	TAXABLE INTEREST ON DEBT OBLIGATIONS
* ✓ EC	CR	INT	NO	N/A	TAX EXEMPT INTEREST EXCLUDING US OBLIGATIONS (No cusip - if int is not associated with a bond)
✓ ED	DR	INT	NO	N/A	TAX EXEMPT INTEREST EXCLUDING US OBLIGATIONS
* ✓ TC	CR	INT	NO	INT	REPORTABLE INTEREST ON U.S. OBLIGATIONS
✓ TD	DR	INT	NO	N/A	REPORTABLE INTEREST ON U.S. OBLIGATIONS
* ✓ VC	CR	DIV	NO	DIV	DIVIDENDS QUALIFYING FOR EXCLUSION
* ✓ VD	DR	DIV	NO	N/A	DIVIDENDS QUALIFYING FOR EXCLUSION
✓ NC	CR	DIV	NO	DIV	DIVIDENDS NOT QUALIFYING FOR EXCLUSION?
✓ ND	DR	DIV	NO	N/A	DIVIDENDS NOT QUALIFYING FOR EXCLUSION
✓ GC	CR	DIV	NO	DIV	CAPITAL GAINS DISTRIBUTIONS
✓ CD	DR	DIV	NO	N/A	CAPITAL GAINS DISTRIBUTIONS
✓ LC	CR	DIV	NO	DIV	CASH LIQUIDATION DISTRIBUTIONS
✓ LD	DR	DIV	NO	N/A	CASH LIQUIDATION DISTRIBUTIONS

\* JD  
DT OT RL

because there is no GDS code

MADTSS00336523

NEW C & S SYMBOLS (IRA ACCOUNTS)

CONTRIBUTIONS (CREDIT)	CT
DISTRIBUTIONS (DEBIT)	DT
ROLLOVER (CREDIT)	RL
TRANSFER (DEBIT)	DT
TRANSFER (CREDIT)	CT

## TO PUNCH C/S ENTRIES

GO TO MENU CASH17 --> #1 enter/update c/s

check cusip for all C/S entries (MENU MAINT #1)- make sure they are in the cusip file. If they are not in the cusip file make sure you are given the information needed to add cusip to file.

**\*\*NOTE\*\* Brackets around monies--> entered as (field -)**

C/S screen is a DFU screen

CMD1 - Dupe (on/off)  
CMD10 - Entry mode  
CMD11 - Update mode  
CMD4 - Delete entry  
CMD7 - To end

After entries --> CMD7 --> you will get an 'audit log' and a page with 'totals'. (Once you have run C/S --> tape & printout --> shred)

Make tape for total    Debit Shares - R  
                          Credit Shares - D  
                          Debit Monies  
                          Credit Monies

Check totals with printout, make sure tape and totals are the same before running or renaming C/S.

Initial each page that you entered

To Rename C/S file -- to put entries on hold so you can update and/or run other C/S.

Key:    RENAME CSHSEC17,CS170324    (HOLD)  
         RENAME CS170324,CSHSEC17    (BRING BACK)

where 0324 represents the C/S date you are renaming

## **RUNNING C/S**

TO RUN C/S GO TO MENU CASH17 --> #2 (CASH1702)

Enter C/S Date working with --> you then get a **Fidelity Rate Screen** --> Enter rate in four field (eg 2.87 enter as 0287) then **CMD7**. This gives edit list, fidelity payments & Rejected fidelity (this should always be blank if not call Annette/Programmer).

**\*NOTE\* Fidelity Rate is entered once for each c/s date,** when running A/O C/S --> **CMD7** from fidelity screen -- DO NOT ENTER RATE AGAIN.

**\*\*NOTE\*\*** To get Fidelity Rate --> go to Frank's office and on the 'BRIDGE TERMINAL'

KEY: **FDRXX/THD** --> **ENTER** --> **PRINT SCREEN**

Take the print of screen and cut Fidelity rate for date running so you can keep a log of the Fidelity rate.

Check edit list carefully against C/S sheets  
if errors --> (Y) for yes errors --> fix errors (#1 MENU CASH17) --> **CMD7** to end --> Set Date (C/S date) --> #3 MENU CASH17 (CASH1704)

**\*\*\*\* NEVER RE-RUN CASH1702 (#2 MENU CASH17) AFTER YES ERRORS \*\*\*\***

If no errors --> (N) for no errors and C/S will continue to running.

You will need C/S data cartridge - label with 'C/S date' and 'run date'

**\*\*\*\*Note:** If you are running C/S with no entries open **CSHSEC17** (C/S file) files by going to **MENU CASH17 #1** --> **CMD7** --> then **#2 (CASH1702)**. For no entries use a blank green or yellow C/S sheet and label it with the C/S date you are running and write **NONE** across the sheet and file with c/s sheets that have been run.

Paper Work: Edit List, Fidelity Payment, Rejected Fidelity  
Daily Stock Record (attach all 4 reports together)  
Batch Stock Record -(Get only if there are entries with R & D codes)-->Frank's office  
Blotters  
Account Cash Balance  
MEMO (goes to Winnie/Cedric with C/S sheets)  
LABL  
CMEM & CLAB (MEMO for R & D entries in the 10 acct)

**NOTE:** IF YOU ARE RUNNING C/S THAT HAS NO ENTRIES WRITE "CASH & SECURITY ENTRIES 'DATE' " ON THE BLANK EDIT LIST PAGE.

ALL REPORTS FROM C/S GO TO THE FILING ROOM EXCEPT THE BATCH STOCK RECORD WHICH GOES TO FRANK'S OFFICE.

IF YOU ARE RUNNING A/O C/S - 'NUMBER' THE FIRST PAGE OF THE EDIT LIST, BLOTTERS, ACCOUNT CASH BALANCE & BATCH STOCK RECORD SO THAT THESE REPORTS CAN BE FILED IN THE ORDER THEY WERE RUN.

IF YOU ARE RUNNING C/S TO SETTLE A SPECIFIC PROCEDURE SUCH AS CONVERSION OR SETUPS, THEN WRITE "STL 'SPECIFIC PROCEDURE'" ON THE FIRST PAGE OF THE EDIT LIST, BLOTTERS, ACCOUNT CASH BALANCE & BATCH STOCK RECORD.

## CONVERSIONS

Conversion sheets come from Setups.

All conversion due dates are set internally to 99/99/99 so C/S can be run without settling conversion in errors.

To work with conversions:

GO TO MENU CASH17 #18 or Key: SETCONV

Only use #02 - To change date  
#03 - To delete conversion  
#05 - To end correction

**NOTE:**

CONVERSIONS FROM WHEN ISSUED STOCKS ARE ALWAYS DELETED  
(BOTH REC & DEL SYMBOLS)

— WHEN CHANGING CONVERSION DATES OR DELETING CONVERSIONS YOU  
MUST CHANGE OR DELETE BOTH REC & DEL SYMBOLS  
| |

When customers are to be converted JoAnne will give you copies of DUE DATE report. These reports will have customers for conversion as well as dates on which to convert customer.

You will need your corresponding CONVERSION DUE reports. (For every CONVERSION DUE report there is a DUE DATE report with the same customer/stock information. Joanne works with the DUE DATE report to SETUP her customers. Then once Customers are SETUP she will give you her DUE DATE report so you can convert customers that were SETUP.)

First- color code customers to be converted based on conversion dates. ( eg.  
All Cust SETUP in stock A --> conv 7/3 --> color blue  
All Cust SETUP in stock B --> conv 7/15 --> color pink etc.)

Second- change conversion date -- SETCONV #2 (Must change date on both REC & DEL symbols) Conversion file is accessed by the "original due date". This dated is printed at the top Conversion Due report.



On change conversion screen --> enter original due date --> symbols for REC & DEL symbols (symbol 1 & 2)--> new conversion date --> then enter one of the following:

- \* **ALL** to change date for all accts (for stocks entered) to new conv date
- \* **INCL** to change date for individual acct # (for stocks entered) to new conv date (entry of acct #(s) is done on a DFU screen)
- \* **OMIT** to change date for all accts (for stocks entered) to new conv date EXCEPT individual acct # to be omitted (entry of omit acct #(s) is done on DFU screen). Gives conversion on hold report

NOTE: FOR DELETING CONVERSION THE ALL/INCL/OMIT INSTRUCTIONS ARE THE SAME AS FOR CHANGING CONVERSION DATES.

Third- when you change/delete conversion you will get an audit log for accts entered for INCL/OMIT & a printout showing "original due date", "customer #", "symbols for stock," "R/D", "shares" and "new conversion date". Check printouts to make sure that you changed conversion date for customer # that need to be converted, that you changed date for both symbols and that the new conversion dates are correct.

Forth- if the conversion date was changed in error and you need to put a customer back on HOLD --> change conversion date to 99/99/99

Fifth- run C/S to settle conversion (once you move conversions to date given by JoAnne you must run C/S for that date)

NOTE: AUDIT LOGS AND PRINTOUTS WITH NEW CONVERSION DATE ARE FOR YOUR PURPOSE, AFTER RUNNING C/S TO SETTLE CONVERSION --> SHRED

**CONVERSION ON HOLD - FROM 'OMIT' MUST BE KEPT IN THE CONVERSION ENVELOPE UNTIL THEY ARE CONVERTED.**

If running C/S to settle conversions and there are no entries for R & D codes in the 10 account then CANCEL CMEM & CLAD on spool file.

## TRADES

Trading involves punching and running BUY/SELL transactions.

There are four types of customer accounts you will do trading for on a monthly basis. The ending of customer account # will tell you the type of account you are working with.

Customer ending in 10 - Joanne's trades - ARBITRAGE ACCT

- \* Most trading in 10 acct is done through SETUPS.
- \* SETUP trading must never be punched through MENU TRADES #1, it must be punched through SETUP program unless its a cancel setup ticket.
- \* DAY TRADES (BUY and SELL of the same stock for the same amount of shares) in the 10 acct --> BANK is 29000030.
- \* SELL of treasury for 10 acct will be given to you on the 'yellow' copy of the COMP form. (keep these yellow comps - you do not have to make copies) Joanne must give you the symbol, t/d & s/d and price for sale. You will pickup only the acct # and the shares (quantity) from the comps.
- \* SELL of fidelity (FCRXX) will be given to you on the 'FIDELITY BUY REPORT' FCRXX ALWAYS SOLD @ \$1 AND T/D & S/D ARE ALWAYS THE SAME. (per acct # - use the earliest date)

Customer ending in 30/40 - Frank's trades - OPTION ACCT

- \* Frank's regular trading ( ie. common, treasury) are done in 30 acct. (BK 29000030)
- \* Settlement date on regular trades ususlly by the calendar.
- \* Option trading (PUT & CALL) are done in 40 acct (BK 40000040).
- \* The settlement date on OPTION trades is usually the next working date after the trade date.
- \* Commision on OPTION trades --> 25 enter as 2500
- \* Frank also does trading for BIF account--SEE BIF tickets.

Customer ending in 30/70 - Annette's trades - SPECIAL ACCT

- \* All SELL ticket in the 70 acct should have 'SHORT AGAINST BOX' in the INSTR field on trading screen.
- \* Settlement date is usually by the calendar.
- \* Annette also does trading for 20 accts - bank 29000030

Customer ending in 50 - Jodi's trades - HEDGE ACCT

- \* A SELL of a common stock in the 50 acct is usually marked with an 'X' in the short field on trading screen. Settlement date is usually by the calendar.
- \* 'M' next to share amounts indicates thousands -->  
50M enter as 50000

There are two types of trading:

- PUN** - these are manual or punched trades
- BAT** - these are batch and basket trades.

### **PUN TRADES**

**TO ENTER PUN TRADES GO TO MENU TRADES #1--> PUN**

1) Read everything on tickets very carefully, make sure you know whether you are buying or selling, the shares(quantity), the price, the trade dates- T/D, the settlement dates- S/D and the customer account #, blotters and the bank account #. ( ORIGINAL SHARES is entered only when TRAD1701 ask for it)

2) The customer ending number (eg. 10,30,40,50) should match bank account number (EXCEPT for FIDELITY (FCRXX) and TREASURY (UST\_) symbols where the bank is ALWAYS 29000030 and BIF tickets where the customer account number ALWAYS end in 30).

Customer Ending	Bank	Blotter/market/trans
30,70,20	29000030	452
10 (SETUP)	30000010	452
50	50000050	452
40	40000040	481

#### Valid Banks:

- 29000030 - Regular
- 30000010 - Arbitrage Setups
- 40000040 - Options - Put & Call
- 50000050 - Hedges
- 60000020 - Common Stock
- 65000020 - Bonds

3) Check T/D and S/D with calendar. For Option tickets (customer ending in 40) the S/D should be the next working date after the T/D. For FCRXX and most TREASURY (UST\_) the T/D and S/D are the same. For regular tickets (common, bonds etc) each T/D has a unique S/D based on the calendar.

4) **TRADING CODES for trade prices:**

<u>Fraction</u>	<u>Codes</u>
No cents/fract	1
8th	2
4th	3
1/2	4
16th	5 (3/16 punched as 03 5)
32nd	6 (3/32 punched as 03 6)
64th	7 (3/64 punched as 03 7)

eg. 1 3/4 punched as dollar 1 fract/cent 3 price code 3  
1 5/16 dollar 1 fract/cent 05 price code 5  
98.87 dollar 98 fract/cent 87 price code 1  
1 dollar 1 fract/cent     price code 1

5) **PUNCHING CANCEL TICKETS**

If comps read SLD then it is a Buy --> punch as B  
If comps read BOT then it is a Sell --> punch as S

To cancel a trading ticket punch all information on ticket  
B/S, C (cancel field), shares, symbol, price, trans#, trade  
date, settlement date, blotters/market/trans, gross  
(principal), commission (if needed), interest (if needed), the  
bank account#, X for short (if needed) & INSTR (if needed)

6) **BIF TICKETS - customer account number ALWAYS end in 30**  
for BIF option - Blotter/Market/trans is 482  
Bank account # is 40000040  
Frank usually pre calculates the gross.

7) On punching screen acct #1 - Customer acct  
acct #2 - Bank acct

CMD1 Dupe  
CMD5 Entry mode  
Roll up/down to scroll entries  
To search for a record --> enter record #-->CMD3  
To update a record--> make changes -->CMD12  
To delete a record--> CMD10  
To end entries-->CMD7

After you have entered all trades run a tape to get totals for all the buys, the sells, principal(gross), commission and interest Check all totals on tape with the totals on screen--they must be the same before you run the Trades. (long -Buy total, short-Sell total).

Once screen and tape are the same --> take a print of the screen  
--> PRINT key --> RESET key --> CMD7 to exit total screen  
then RUN trades (MENU TRADES #2)

8) Initial trading sheets that you punched from. Make copies of all trading sheets. The originals are returned with the COMPS. The copies are stapled to the printout of the print screen and tape, and filed in trading envelope.

## BAT TRADES

### Batch & Basket Trades

**Note:** Manual Trades must be Run (or Renamed only Joanne's trades) before you can punch and run BAT Trades.  
For **BATCH** or **BASKET** trades must check option cusip with Frank

**BATCH TRADES** - Allows you to buy or sell stocks for customers based on stock record position. These are usually Frank's close-out trades.

**TO ENTER BATCH TRADES - MENU TRADES - #1 --> BAT--> BATCH**

#### **BATCH TRADE SCREEN**

1. Enter ticket exactly as written (codes for price are already written on ticket) then **ENTER**
2. **CMD1** for omit screen (the 'stock' at top of omit screen tells you what stock you are entering omits for)  
    if omits enter account #(s) then **ENTER**  
    for **GROUP OMIT** enter group (eg. 1ZA,1CM) then **CMD5**
3. **CMD1** takes you back to trading screen.
4. If there are more tickets continue with Entries  
    if not **CMD7** to end and check edit list.
5. If error--> **y** (yes errors) --> enter **symbol** and **CMD3** to search. Make corrections **CMD12** to update and **CMD10** to delete then **CMD7** to end.  
    To correct omits - **CMD1** for omit screen-->  
        **D** to delete --> **CMD12**  
    If no error --> **n** (no errors) --> **Yes** to create Batch and then **Run Trades- MENU TRADES #2**.

**Note:** Can only end (**CMD7**) **BATCH** entries from trading screen not from omit screen.

Initial Batch trading sheet and make copies. Original is returned to Frank or Jodi. The copies are filed in trading envelope.

**BATCH SALE OF FCRXX SHOULD BE PUNCHED AND RUN SEPERATELY FROM OTHER BATCH TRADES SO YOU CAN CANCEL THE FIDELITY COMPS ON SPOOL FILE.**

**BASKET TRADES** - Allows you to punch customer account# and quantity based on a basket Frank has created. These are usually Frank's new trades.

**TO ENTER BASKET TRADES**

**MENU TRADES #1--> BAT--> BASKET--> B.XXXXXX (basket name)**

**BASKET TRADE SCREEN**

1. Enter acct#, quantity (this is a 1 digit decimal field therefore a basket quantity of 1 is entered as 10 and .1 is entered as 1) and BASKET name (B.XXXXXX).  
(BASKET NAME CAN BE DUPED)

When entry screen is full hit **ENTER** - acct # is accepted when screen clears, if acct # stays on the screen after you have hit **ENTER** then it was not accepted. (if acct # is not accepted - check with Frank you may need to update name/address file)

**CMD7** to end entries and check Edit List

2. If errors - **y** (yes to correct)

To **DELETE** an account #

- a. enter acct#, basket name and **CMD3** to search for acct #.
- b. once you find acct # put a **D** in delete/update column then **CMD12**

To **UPDATE** an account #

- a. enter acct#, basket name and **CMD3** to search for acct #.
- b. once you find acct #, make changes, put a **U** in delete/update column then **CMD1**

To **BROWSE** file **CMD3**

To end corrections **CMD7** and check Edit List again.

**CMD1** can also be used as a reset key

If no errors --> **n** (no errors) **Yes** to create basket then Run Trades **MENU TRADES #2**.

Initial Basket trading sheet and make copies. Originals are returned to Frank and copies are filed in trading envelope.

## **BTSCRT AUTOMATED BASKET TRADES**

Frank creates a BASKET file with customer and quantity already entered. You will only have to make correction (if any) and then run these trades.

To correct or to run these trades

GO TO MENU TRADES #1 --> BAT--> BASKET--> B.XXXXXX

to correct --> **yes** to correct existing BASKET file.  
make corrections -- see above for correcting basket trades  
then **CMD7** to end --> check edit report  
if more corrections **Y** - yes errors and make correction  
if no more correction **N** - no errors then --> **yes** to create  
Basket file.  
THEN RUN TRADES

to run if no corrections --> **no** to correct existing file  
then --> **yes** to create Basket file --> then RUN TRADES

Once BASKET is created then you must Run Trades (MENU TRADES #2).



## **RUNNING TRADES**

To run trades --> MENU TRADES #2

Enter date for Trades (check log for previous Trade dated)

Print Edit Report? always Yes for PUN trades  
always NO for BAT trades

Sort by symbol? N - Print an edit report in the order your  
trades were entered  
Y - sorts edit report by symbol. This is  
not the order your trades were entered.

For PUN trades check edit list carefully, make sure  
everything has been entered correctly. At this point you  
can correct any errors.

If errors - Y for yes errors--> go to #1 (on the terminal  
where the trades were punched) and make corrections -->  
CMD7 to end corrections --> rerun your edit report and  
check.

If no errors - N for no errors and trades will continue  
to run

You will need the TRADE data cartridge - label with trade  
date and run date.

**PAPER WORK - Edit List, Rejected fidelity**  
Batch trading first trans# report (from BATCH  
trades only - Frank's office )

Blotters

Figures (delete for BAT trades,  
figures for PUN trades return w/ COMPS)

Batch Stock Record - Frank's office

Trades canceled before settlement (if blank -  
shred, if not attach to last page of blotters)

COMPS - ALL TRADES FOR ANNETTE, JODI AND FRANK  
ARE RUN ON 3PT COMPS (DUPLICATES ARE RUN ON 2PT  
COMPS). ALL TRADES FOR JOANNE (10 ACCTS)  
EXCEPT 'BUYS OF TREASURY' ARE RUN ON 2PT COMPS.  
JOANNE'S BUY OF TREASURY ARE RUN ON 3PT COMPS.

LABELS -

SPECIES in  
T61F

NOTE: ATTACH EDIT LIST & REJECTED FIDELITY TO BOLTTERS --> FILING  
FOR PUN TRADES - WRITE TRADE DATE AND RUN DATE ON FIRST PAGE  
OF THE FIGURES AND GIVE TO CEDRIC ALONG WITH ORIGINAL  
TRADING SHEETS, COMPS AND LABELS

**\*\* FIGURES FOR ANNETTE BEFORE RUNNING TRADES**

Enter trades --> do tape --> check Edit List --> Y yes errors  
then KEY: SPEC45,GPLIB (take 0 to pauses that follow)  
Give report and trading sheets to Annette.

**\*\* PROCESSING CANCEL TRADES**

To run trading with cancel tickets you need to use a \*SPECIAL TRADE  
DATE if tickets HAVE NOT SETTLED. If tickets have settled the  
trade date does not matter.

\*special trade date is any date less than or equal to the earliest  
trade date on tickets you are canceling.

**\*\* PROCESSING CANCEL SETUP TICKETS**

Must cancel SETUP ticket thru trading before replacing with a NEW  
SETUP. TRAD1701 tracks cancel SETUP ticket (note question)

**\*\* RUNNING TRADES THAT GENERATE DIV ANNOUNCEMENTS**

Some trades may need "original shares". Check with Annette or  
whomever gave you the trades. If you have to enter "original  
shares"--> Yes errors-->MENU TRADES #1 --> enter "original shares"  
-->CMD7 and rerun trades.

Some trades generate dividend payment information. Check with  
Annette if dividends are OK or should be BYPASSED or should be  
corrected (ERROR).

## RENAMING TRADE FILES

This puts the PUN trading files on HOLD so you can enter and run BAT trades. (you can only have one set of Trade files on hold.)

### MENU TRADES

- #3 - to put on hold
- #4 - to bring back

## WHEN ISSUED TRADES

These are usually from SETUPS -- (SYMBOLS WITH .V ENDING)

### MENU TRADES

- #5 - Enter CXL & Issued symbol--> gives "ISSUE TRADE  
EDIT LIST"
- #6 - To Process trades--> Blotters  
COMPS - 2PT COMPS  
LABEL

Attach Issue Trade Edit List to Blotter - filing  
COMPS & labels - Joanne's office

### SET-UPS (ARBITRAGE TRADES 10 ACCTS)

Set-ups begins with a trade set-up ticket eg.

B/S	SYMBOL	PAR	TRADE DATE	SETTLE DATE	CONVERSION INT FRACT	LOWER LIMIT \$ FRAC CENT	UPPER LIMIT \$ FRAC CENT
B	PFE		062395	062895	1	89 1/4	89 7/8
S	PFE.V		062395	000000	2	45 1/2	45 3/4

- A) FIRST check to make sure symbols are in the cusip file (Menu MAINT #1)

if symbol is in the cusip file make sure that all information for cusip/symbol is in correctly.

if symbol is not in the cusip file then you must enter it into to cusip file. (Joanne will give you all the information you need to enter the cusip/symbol).

- B) NEXT check the dates on ticket, make sure that trade dates and settlement dates are working days and that each trade date has its corresponding settlement date -- check calendar.
- C) IF the setup ticket has a When Issued symbol ( eg. PFE.V where the .V ending indicates a When Issued (W/I) symbol ) then make sure there is no settlement date for that W/I symbol. See above example.
- D) ONCE you have checked symbols and dates you are now ready to enter trade set-up ticket.

GO TO MENU SETUPS (#13 on MAIN MENU)  
#1 - trade setup

Enter information exactly as it is written on the set-up ticket noting that there are no codes for prices. eg 89 1/4 is punched as 89 1/4.

DEAL NAME is always the symbol on the BUY side of the ticket. (eg for the ticket above the DEAL NAME is PFE.) If you have more than 1 ticket with the same BUY side symbol ( eg. 3 tickets for PFE) then one DEAL NAME would be PFE, the second would be PFE2 and the third would be PFE3 etc)

Valid codes for the B/S column

B BUY  
S SELL  
D DEBIT  
C CREDIT

After you have entered trade set-up ticket(s) then CMD7 to end the job and do #2 (MENU SETUPS) to calculate maximum returns.

#2 will generate "ARBITRAGE SET-UPS" report.

Check this report - all the information should be entered exactly as it is written on the trade set-up ticket.

If you need to make corrections go to #1 again, enter the DEAL NAME, make your corrections, do CMD7 to end and then do #2 again.

TO DELETE a trade setup key X in the B/S/C/D field ( you don't have to field exit all the fields.) After you delete a trade setup, and you do #2 again, you will get a series of pauses -- just keep answering 0 until your screen clears.

Once entries are correct give both trade set-up ticket and ARBITRAGE SET-UP report to Joanne.

=====

Next Joanne will give you customer information to enter -- this is her CUSTOMER SET-UPS

eg. 1A0001 AHT PARTNERS 1 3/4 990000.00 4 7/20

account #	name	%	invest	week	due date
-----------	------	---	--------	------	----------

Check DUE DATES - make sure they are working dates

#### PERCENT/FRACTION CHART

1/8 - 125	5/8 - 625
1/4 - 250	3/4 - 750
3/8 - 375	7/8 - 875
1/2 - 500	1/16 - 0625

GO TO MENU SETUPS - #3 - (CUSTOMER SET-UPS) to enter customer information for each DEAL entered in #1.

After you have entered all the customer information do CMD7 to end your entries the do #4 -- you will get the following reports:

DEAL/ACCOUNTS ENTERED IN DUPLICATE  
PRECUST FILE PERCENT ADJUSTMENT  
CUSTOMER SET-UP

*divide by 0 attempt  
take 0  
customer info entered blank*

Give Joanne these reports along with the customer information you punched from.

At this point you can add a new DEAL or make any corrections to #1, #2, #3 or #4 on MENU SETUPS. ( #1 ---> #4 CAN BE DONE AS MANY TIMES AS NEEDED)

**TO CORRECT CUSTOMER SETUP - GO TO #3 (MENU SETUPS).**  
Enter the DEAL NAME (symbol for the BUY side of the ticket) and continue hitting the ENTER KEY until you find the customer account# you want to correct. Make corrections and hit ENTER.

**TO DELETE a customer setup** field exit through all the fields( the account name will remain on your screen) and hit enter.

**\*\*NOTE\*\*** CMD1 - for new setup( or deal)  
CMD7 - to end the job

After your have made all your corrections do #4 (MENU SETUPS) and again give all reports to Joanne.

=====

When Joanne has checked the work and there are no more corrections she will tell you that the work is good and you can run it.

**Go to MENU SETUPS - #5** (there is a pause in the middle of running this procedure, just key Q and hit your ENTER KEY to continue running.)

This procedure generates the following forms and reports:

COMP - these are always run on 2pt comps forms  
MEMO - you may or may not get memos depending on the type of trade setups  
LABL - label form  
  
Blotters  
Profit Check Report  
Conversion Due Report  
Due Date Report

Give all paperwork to Joanne and wait for her to check the COMPS.

=====

Once she has checked the COMPS Joanne will give you two dates and tell you to end the SETUP job.

The earlier date will be used on the save data cartridge to end SETUPS the later date will be the C/S date you will run to settle these SETUPS.

TO END SETUPS GO TO MENU SETUP #6 - process trades (no paper work  
generated)  
and #7 - save setup information( use the  
SETUPS/DIVIDEND data cartridge)

After you do #6 & #7 you must run C/S (for date Joanne gave you) to  
settle SETUPS

**\*\*\*\*\*NOTES\*\*\*\*\***

YOU CAN RUN #5, #6 & #7 ON YOUR SETUPS MENU ONLY ONCE.  
ONCE YOU DO #5 YOU MUST CONTINUE TO #6 & #7 BEFORE ENTERING A NEW  
SETUP TICKET, YOU CANNOT GO BACK TO #1 ---> #4.

FOR SETUPS WITH WHEN ISSUE TICKETS -- YOU MUST END SETUPS (#6 & #7)  
BEFORE YOU CANCEL AND ISSUE TICKETS.

IF YOU CANCEL A CUSTOMER SETUP TICKET THROUGH TRADING (MENU TRADES)  
THEN YOU MUST DELETE THE CONVERSION FOR CANCEL TICKET BEFORE YOU DO  
A NEW SETUP TICKET TO REPLACE CANCEL.

JOANNE'S SETUP TRADES SHOULD NEVER GO THROUGH MENU TRADE (ONLY  
CANCELS)



## CHECKS

There are 3 books you will punch checks from:

1. CHECK IN BOOK (small book 8 1/2 X 5)
- 2. CHECK OUT BOOK (8 1/2 X 11 book)
3. BINDER WITH PROFIT CHECKS FOR 10 ACCT

Jodi will give you checks on a daily basis. She will give you an instruction sheet which will tell you what out going checks should be punched and the check date.

### CHECK CODES:

- ✕ A. PW - (Profit Withdrawal) Check that come from SETUPS in Binder are 10 account and always PW. On description type "check & stock name." Interest checks are also PW, on description type "check interest 'date'"

Pinks - Div and Interest are always PW. Must have description. Separate by customer then add total for each customer. For DIV Pinks - if description is exactly same - one check if not then separate checks

- + B. CW - (Capital Withdrawal) are customer request that must go out. On description type "check"

- C. DT - (Debit Transfer) are IRA distribution request. On description type "check year (eg 1994) distribution" DT monies must be added to CW totals

- D. CA - (Capital Addition) - checks received from customer. These are always (field -) On description type "check" (or check wire if indicated)

PW - DT - CW --> punch as (field +) debits

CA --> punch as (field -) credits

#### CHECK IN BOOK

Always punched as a CA --> (field -)

Checks coming in are always punched separately from check going out.

If there are checks coming in for different dates, they must be separated by date order then punch and run each date separately.

NOTE\*\* Checks coming on a date for which C/S has already been run should **not** go through MEMO01 & MEMO02 procedure. They should be put through on C/S sheets. Check with Jodi or Annette.

#### CHECKS GOING OUT

PW/CW/DT --> always punched as (field +)

You will usually have 2 sets of checks going out each day.

First set are LEVY CHECKS (1L002750 & 1L002730)

Levy checks are punched and run separately from all other checks because these checks are printed on Banker's Trust checks -BLUE CHECKS.

Second set are ALL other accounts.

These checks are printed on Manufacturer's check -YELLOW CHECKS.

Therefore, you will usually have 3 sets of checks daily.

1. CA - Checks coming in for current day
2. PW - Levy checks going out for next working day
3. CW/PW/DT - Checks for all other accounts going out for next working day

## ENTERING AND RUNNING CHECKS

Separate each set of checks by date order and do only one set at a time.

Get a tape of TOTALS for each set of check (totals for CA, PW-Levy, PW + CW + DT-all other accounts).

NOTE\*\* check amount for DT code are added with check for CW code.

Once you have your tapes for each set of check you are now ready to enter checks.

Key: MEM001 and enter date working with

Check Name  
is a function  
of NAME  
7/24/96

~~For checks going out --> after punching acct # you must check 'check name' to see if it needs editing. Check Name should not have address information and should make sense to you.~~

NOTE\*\* All '1ST Trust IRA' accounts should be made payable to NAME on acct only and not to 1ST TRUST.

For checks coming in --> you do not need to edit the check name.

When you have entered all cust for date working with do CMD 7 to get totals. Check to make sure totals match your tape - if tape and screen do not match - do CMD 11 to go back and check you entries

Once your tape and screen matches CMD7 to end entries (This gives printout of total screen) then

Key: MEM002 and enter date worked with

MEM002 gives check journals with entries, check forms (outgoing checks only) and memos.

NOTE\*\* FOR LEVY CHECKS -- CHANGE CHECK FORM ON SPOOL FILE TO CHECKLE SO YOU WILL KNOW WHAT CHECKS TO PRINT ON BLUE CHECKS

All paper work from checks go in cabinet in Jodi's office.

Note\*\* To cancel or update a check before it hit C/S key: MEM04 (this takes you to the pendcash file) Starting with record #1 scroll through the file for record to update or delete. This is a DFU screen--> CMD4 to delete --> CMD7 to end. Give audit log to Jodi.

## OTHER TYPES OF CHECKS

### MONTHLY & QUARTERLY WITHDRAWAL CHECKS

Key: MENU REQW

To add, delete or update the Monthly check file-->#1 (#13 for Quarterly check file)

Enter account # and check type (usually CW unless otherwise indicated).

After entry/update/deletion --> CMD7 to end then do #2--> Edit Report for Monthly checks (#14 for Quarterly checks)

Check Edit Report to see ~~if check name needs editing~~ --> *check name now a function of NAME* to edit go back to #1 for Monthly (#13 for Quarterly)--> enter acct # and Type--> make changes-->CMD7 to end --> re-run Monthly/Quarterly edit report. *ADDP*

Return paperwork to Annette or Jodi

Do not process checks until Jodi tells you to.

Once Jodi gives you instructions to process checks and the date for checks then do #3 to process Monthly checks (#15 for Quarterly checks)-- These check are usually dated for the first working day of the month.

You will get check journals and check forms -- print these check on YELLOW checks.

All paper work from Monthly/Quarterly checks go in cabinet in Jodi's office.

### EQUITY APPRECIATION CHECKS

These are done every quarter (after month end March - June - September - December Only). Frank will give OK to start processing these checks.

**Note:** Should be run only After E-O-M portfolio has been run.

### GO TO MENU EACHK

#1 Generate check amount -- ask for date portfolio was last updated through--> EOM date you just ran--> no report from this step.

After #1 do #2 to generate report with check amounts for Frank.

After this report is generated Frank or Erin will ask for **abbreviated portfolio** --> #6 --> gives ABPF forms and labels. (usually 2 copies of the ABPF forms are needed) ABPF forms are Blank forms the same size as your comp forms. Line up on printer is the same as comp line up.

They will also ask for abbreviated portfolio for acct 1A thru 1C to be printed on paper. You will run #6 on EACHK and print ABPF on paper for requested accounts.

#4 update check file --> lets you update ~~check name~~ and check amount for each quarter. If you update check amount, re-run #2 and give report to Frank.

Once Frank gives you the OK to process checks

~~First do #3 to run check name edit--> check check names to~~ *CHECK NAME NOW*  
~~see if they need editing.~~ *AFUNCTION OF NAMEADDR*

~~To edit check name go to #4--> enter acct#--> ENTER--> make changes --> CMD7--> re-run #3.~~

~~After checking "check names" you can process check with date given by Frank -- do #5 (will ask for 2 dates -date Port last updated to and check date) gives journals, checks and memos.~~

These check are printed on YELLOW check forms.

Checks, labels and check journal for EA checks go to cabinet in Jodi's office.

## NAME/ADDRESS FILE MAINTENANCE

### MENU NAMENU

To Enter/Update customer Name/Address files  
GO TO #1 ON MENU NAMENU

#### Action Codes:

A - Add new account  
C - Change

#### Types:

- 1 - Regular - Customer Master
- 2 - Duplicates (dup field is a 2 digit field --> 1st dup enter as 01)
- 3 - Mailing labels (use only lines 1,3,4,5--> line 2 does not print on label form)

To enter a new account # always check number before (to make sure you are not skipping numbers) and new account number (to make sure # has not been assigned to another acct).

- \* Check forms with customer account papers to make sure all information is correct.
- \* If customer account papers with Tax ID# is signed then you can confirm (C) Tax ID#.
- \* Short Name -Customer last name & initial
- \* Exempt Tax ID# (E) should also have N for 1099 forms.
- \* Check Group Name list to make sure group name is valid
- \* on new accts that are related to a retirement plan --> should have Y for agency acct (check with Annette/Jodi/Frank)
- \* Foreign acct (1FN) should have W/H rate  
If it does not have W/H rate do not enter  
check with Annette/Jodi for W/H rate  
To enter W/H rate - eg 15% enter as 1500  
Overseas address should have A(airmail) for comps, memo, statements
- \* 1CM accounts should have duplicates  
To MAURICE J COHN (Comp N - Memo H - Statement H)  
To MELVIN MARDER (Comp N - Memo N - Statement \_)
- \* 1EM account should have duplicates  
To MELVIN MARDER (Comp N - Memo N - Statement \_)

FOR PROFIT/DIVIDEND/INTEREST

S - send  
R - reinvest

FOR TYPE/BATCH

30/40 --> F for Frank  
50 --> J for Jodi  
30/70 --> A for Annette

To cancel a duplicate (type 2) or a mailing label (type 3)  
VIEW ACCT --> CMD4 (TO FLAG RECORD FOR DELETION)  
THEN CMD7 --> #2 ON MENU NAMENU (THIS REMOVES DELETED RECORD)

To cancel information on a master acct (type 1)  
FIELD EXIT THUR ALL THE FIELDS - DO NOT CMD4 ON A TYPE 1

If you change any information on a TYPE 1, take a print of screen  
after changes (PRINT key then RESET key). Give printout with  
account folder to Darlene.

- Report to Annette on any title or CK/VAM changes

## NAME/ADDRESS REPORTS

### MENU NAMENU

- #5 - Prints name and address with duplicates and mailing. *NALIST01*
- #6 - Prints type 1 name and address with all customer information such as ID#. *NALIST02*
- #7 - Prints 'Short Name' report *NALIST05*
- #8 - Prints 'Group Name' report *NALIST04*

### OTHER NAME/ADDRESS REPORTS AND LABELS

TO RUN KEY THE FOLLOWING PROCEDURES IN BOLD LETTERS

- NALIST03** - Prints type 1 name and address only.
- NALIST06** - Prints name and address for selected Z acct.  
(1ZA,1ZB,1ZG,1ZR,1ZW)
- NALIST07** - Prints name and address for selected Z acct with  
send (S)
- NALABEL** - Prints full name and address labels for all acct.  
(Does not print acct#)
- EOYLABEL** - Print name and address labels - 2 line only-filing
- MALABEL** - Print mailing labels - (does not print account#)
- LA001D** - Print return address labels  
"Attn: Annette Bongiorno"
- NACARD** - Print name/address card

~~Note: ENTRY03 - Used to update old name/address files (can not be  
used while regular name/address is being used)~~

Old name/address file --> numeric acct #. We changed to New  
name/address --> alpha numeric acct # in May/92.



NAME/ADDRESS (GROUP NAME)

A J C  
Albert H  
Alpern M  
Alpern P  
Alpern J  
Alpern Leo  
Alpern Lew  
Alpern W  
Alpern S  
Angel A  
A & B  
Amsellem  
A & B-Glantz  
A & B-All  
Autera  
A & B-GM

Davis M  
Delaire  
DI Pascali

Gerber  
Gross  
Gaumont J  
Gelman E  
Ghertler E  
Gordon A  
Gordon N  
Gorek E  
Gladstone  
Gettinger  
Gurit-Hurw  
Goldworm  
Goldstein

Beaser S  
Bessoudo  
Blakeslee  
Blecker  
Blum J  
Blum M  
Blumenfeld  
Brill R  
Brodsky A  
Brown E  
Bromberg B  
Banque Pri  
Birchwood  
Bonventre  
Bloom  
BRAMAN  
BECKER

E & M  
Evenchick  
Engler  
Eldon  
Elins

Horowitz J  
Heller A  
Hershson A  
Hadassah  
Hubbard  
Hertz  
HELLER H

Kostin E  
Kahn-Lucky  
Kay M  
Kommit E  
Kugel D  
Konigsberg  
Katz-Wil  
Kaplan  
Kolodny  
Kantor  
KARYO R  
KAYE H

C & M  
Cohen S  
Chais S  
Carroll R  
Certilman  
Chalek S  
Charat H  
Cohn S  
Cooper C  
Crupi J  
Casanova  
Colvin  
Cohen R

Fine S  
Friedman D  
Friedman N  
Felder R  
Feldman I  
Fiterman  
Flax L  
Frenchman  
FRESHMAN W

Incus

Joel M  
Jaffe A  
Jac/Jor  
JAFFE R

Lieb/Berg  
Lipkin I  
Luria-Schl  
Levy N  
Lowit A  
Lane M  
Levi S  
Levine N  
Lieberbaum  
Langley R  
Lent  
Low

MORRISSEY

Maltz A  
Maccabee J  
Madoff B  
Madoff P  
Mann H  
May S  
Morse S  
Marden  
Mckinsey  
Merkin  
Meyers  
MARSHALL T  
MADISON

Natl BMF  
Nash

Orconsult

Picower J  
Paléologos  
Patt R  
Puchall R  
Perlen

Reaven  
Ru-Ann  
Roth L  
Roth B  
Reese  
Rackman E  
Radosh E  
Rel Zion  
Roman R  
Rose M  
Regen S  
Rechler  
Rosenberg  
Rimsky  
Rush  
Roth J  
ROSS  
RITUND

Smith M  
Shor D  
Shor S  
Sports  
Silver D  
Sage L  
Saratoga  
Scheer G  
Schneider  
Schrenell  
Schwartz D  
Schwartz R  
Shapiro D  
Shapiro S  
Shapiro N  
Shapiro C  
Simonds I  
Squad-St  
Starr E  
Steinberg  
Stettner D  
Stoller  
Schafler J  
Sala  
Sonet  
Salbe  
SYLVAN  
SINGER  
SACKS  
STONE

Tanney A  
Tavlin H  
Toder E  
TSG  
TEC UNION

Um  
Unflat  
UJA  
UPSHER

Webat  
Weinstein  
Weiss I  
Wiener M  
Washburn D  
Worms  
Wolfson  
Winters

Van Lanen

Yeoman R

Zeger B  
Zankel-Lef  
Zimmeth D

## Two-letter state abbreviations

It is essential that ZIP CODES always be used  
with the abbreviations on this list.

Alabama.....	AL	Missouri.....	MO
Alaska.....	AK	Montana.....	MT
Arizona.....	AZ	Nebraska.....	NE
Arkansas.....	AR	Nevada.....	NV
California.....	CA	New Hampshire.....	NH
Colorado.....	CO	New Jersey.....	NJ
Connecticut.....	CT	New Mexico.....	NM
Delaware.....	DE	New York.....	NY
District of Columbia.....	DC	North Carolina.....	NC
Florida.....	FL	North Dakota.....	ND
Georgia.....	GA	Ohio.....	OH
Hawaii.....	HI	Oklahoma.....	OK
Idaho.....	ID	Oregon.....	OR
Illinois.....	IL	Pennsylvania.....	PA
Indiana.....	IN	Rhode Island.....	RI
Iowa.....	IA	South Carolina.....	SC
Kansas.....	KS	South Dakota.....	SD
Kentucky.....	KY	Tennessee.....	TN
Louisiana.....	LA	Texas.....	TX
Maine.....	ME	Utah.....	UT
Maryland.....	MD	Vermont.....	VT
Massachusetts.....	MA	Virginia.....	VA
Michigan.....	MI	Washington.....	WA
Minnesota.....	MN	West Virginia.....	WV
Mississippi.....	MS	Wisconsin.....	WI
		Wyoming.....	WY

## TO ENTER /UPDATE CUSIP INFORMATION

### MENU MAINT ( #6 MAIN MENU)

- #1 - NO CHECK DIGIT
- #2 - CHECK DIGIT

TO CHECK A SYMBOL USE EITHER #1 OR #2

TO CHECK A CUSIP USE #1

TO ADD A CUSIP THAT NEEDS A CHECK DIGIT --> MUST USE #2  
(CHECK DIGIT IS THE 9TH DIGIT IN THE CUSIP #)

YOU CAN ACCESS ALL CUSIP THRU #1. ONLY CUSIP WITH VALID CHECK  
DIGITS CAN BE ACCESSED THRU #2.

ON CUSIP SCREEN

1. ENTER EITHER CUSIP OR SYMBOL
2. TYPE
  - I - INQUIRY
  - A - ADD
  - C - CHANGE
  - D - DELETE

### VALID SECURITY TYPES

- A - OPTIONS (PUT/CALL)
- C - CORPORATE BONDS
- M - MUNICIPAL BONDS
- P - PREFERRED
- R - RIGHTS
- T - TREASURY
- U - UNITS
- W - WARRANT
- 'BLANK' - COMMON

\*\*\*SEE ATTACHED FOR FORMAT OF ENTRY SCREEN FOR EACH SECURITY TYPE\*\*

### CUSIP REPORTS

#### MENU MAINT

- #3 - CUSIP REPORT BY CUSIP #
- #4 - CUSIP REPORT BY SYMBOL

**TO LOOK FOR CHECK DIGIT**

**#2 (MENU MAINT)**

KEY IN FIRST 8 DIGIT/LETTER OF CUSIP # --> THEN STARTING WITH 0 THEN 1,2 .....9, TRY EACH DIGIT. WHEN '0015' FLASHES IN THE LOWER LEFT CORNER OF THE SCREEN THEN THE CHECK DIGIT IS NOT VALID. WHEN '0015' DOES NOT FLASH THEN THAT IS A VALID CHECK DIGIT.

**LOOKING FOR CHECK DIGIT FOR WHEN ISSUE CUSIP**

USE THE FIRST 6 DIGIT/LETTER OF THE COMMON CUSIP --> THEN '99' FOR THE 7TH AND 8TH DIGIT --> THEN LOOK FOR CHECK DIGIT

**LOOKING FOR CHECK DIGIT FOR OPTION CUSIP**

USE THE FIRST 6 DIGIT/LETTER OF THE COMMON SYMBOL --> THEN USE THE LAST 2 LETTERS OF THE OPTION SYMBOL --> THEN LOOK FOR CHECK DIGIT

**\*\*\*NOTE\*\*\***

WHEN ADDING CUSIP/SYMBOL THAT IS BASED ON A COMMON SYMBOL --> ALWAYS CHECK THE 'ISSUER' ON COMMON SYMBOL/CUSIP TO MAKE SURE THE 'ISSUER' ON NEW SYMBOL/CUSIP IS THE SAME.

## CUSIP FILE MAINTENANCE WITH CHECK DIGIT. Part 3 Pg 54 of 74

FM505D

CUSIP #: COMMON

OR

SYMBOL #: IBM

TYPE CODES

I = INQUIRY A = ADD

TYPE: I C = CHANGE D = DELETE

CUSIP: 459200101

SECURITY TYPE:

MARKET:

N

ISSUER:

INTERNATIONAL BUSINESS MACHS

ISSUE:

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 &amp; 2:

Y E

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

## CUSIP FILE MAINTENANCE WITH CHECK DIGIT.

FM505D

CUSIP #: Treasury

OR

SYMBOL #: USTK94

TYPE CODES

I = INQUIRY A = ADD

TYPE: I C = CHANGE D = DELETE

CUSIP: 912794K94

SECURITY TYPE: T

MARKET:

ISSUER:

U S TREASURY BILL

ISSUE:

DUE 6/9/1994

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 &amp; 2:

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

## CUSIP FILE MAINTENANCE WITH CHECK DIGIT.

FM505D

CUSIP #: RIGHTS

OR

SYMBOL #: CHN.R

TYPE CODES

I = INQUIRY A = ADD

TYPE: I C = CHANGE D = DELETE

CUSIP: 169373115

SECURITY TYPE: R

MARKET:

N

ISSUER:

CHINA FUND INC

ISSUE:

RIGHTS

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 &amp; 2:

W C

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

I PRESS ENTER TO CONTINUE. I

MADTSS00336558

Part 3 Pg 55 of 74

## CUSIP FILE MAINTENANCE WITH CHECK DIGIT.

FM505D

CUSIP #: OPTION (PUT &amp; CALL)

OR

SYMBOL #:

DEXID

TYPE CODES

I = INQUIRY

A = ADD

TYPE:

I

C = CHANGE

D = DELETE

CUSIP: 783790ID2

SECURITY TYPE:

A

MARKET:

ISSUER:

S &amp; P 100 INDEX

ISSUE:

SEPTEMBER 420 CALL

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 &amp; 2:

P

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

## CUSIP FILE MAINTENANCE WITH CHECK DIGIT.

FM505D

CUSIP #: MUNICIPAL BOND

OR

SYMBOL #:

NANYRL

TYPE CODES

I = INQUIRY

A = ADD

TYPE:

I

C = CHANGE

D = DELETE

CUSIP: 649647RL0

SECURITY TYPE:

M

MARKET:

ISSUER:

NEW YORK NEW YORK

ISSUE:

SER A

DATED DATE:

08011989

COUPON:

06500

MATURITY DATE:

08011993

TRADER 1 &amp; 2:

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

## CUSIP FILE MAINTENANCE WITH CHECK DIGIT.

FM505D

CUSIP #: CORPORATE BOND

OR

SYMBOL #:

STK.F

TYPE CODES

I = INQUIRY

A = ADD

TYPE:

I

C = CHANGE

D = DELETE

CUSIP: 862111AG6

SECURITY TYPE:

C

MARKET:

ISSUER:

STORAGE TECHNOLOGY CORP

ISSUE:

SUB DEB CONV

DATED DATE:

05031990

COUPON:

08000

MATURITY DATE:

05312015

TRADER 1 &amp; 2:

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

I PRESS ENTER TO CONTINUE. I

MADTSS00336559

CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.

FM504D

WARRANT

CUSIP #:

OR

SYMBOL #:

TYPE:

CALWW

I

TYPE CODES

I = INQUIRY

C = CHANGE

A = ADD

D = DELETE

CUSIP: 130209117

SECURITY TYPE:

W

MARKET:

ISSUER:

CALIFORNIA FEDERAL BANK

ISSUE:

5WTS+9.00=1COM WTS

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 & 2:

C

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.

FM504D

PREFERRED

CUSIP #:

OR

SYMBOL #:

TYPE:

GRSD

I

TYPE CODES

I = INQUIRY

C = CHANGE

A = ADD

D = DELETE

CUSIP: 382388502

SECURITY TYPE:

P

MARKET:

N

ISSUER:

B F GOODRICH

ISSUE:

PFD D \$3.50

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 & 2:

C

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.

FM504D

WHEN ISSUED

CUSIP #:

OR

SYMBOL #:

TYPE:

PFE.V

I

TYPE CODES

I = INQUIRY

C = CHANGE

A = ADD

D = DELETE

CUSIP: 717081999

SECURITY TYPE:

N

\* MARKET:

ISSUER:

PFIZER INC

ISSUE:

WHEN ISSUED

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 & 2:

H

\* CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

717081103

STATUS:



FILE MA  
CUSIP FILE MAINTENANCE WITH NO CHECK DIGIT.

FM504D

CUSIP #:

UNITS

OR

SYMBOL #:

MITFSE

TYPE CODES

TYPE:

I

I = INQUIRY

A = ADD

C = CHANGE

D = DELETE

SECURITY TYPE:

U

CUSIP: 626237804

MARKET:

ISSUER:

MUNICIPAL INVT TR FD

ISSUE:

UNIT CTF SER 8 NY

DATED DATE:

00000000

COUPON:

00000

MATURITY DATE:

00000000

TRADER 1 & 2:

CLEARING (Y/N):

POS CHARGE (Y/N):

WI CLRNG CUSIP:

STATUS:

MADTSS00336561

## ENTERING DIVIDEND ANNOUNCEMENTS

### GO TO MENU DIV17

#1 Enter/Update Current Div info (ie Div information with **record date** equal to or greater than current month)

**NOTE: DO NOT ENTER ANY DIV ANNOUNCEMENTS WITH RECORD DATE LESS THAN CURRENT MONTH (AS OF DIV) IN #1--SEE A/O DIV**

### DIV CODES

11 (Stock)	<b>S</b> - shares <i>SPLIT</i>	eg. 2 for 1 (enter as 2 field exit 1 field exit)
11 (Stock)	<b>P</b> - percent <i>SPLIT</i>	eg. 25% (enter as 2500) 100% (enter as 10000)
00 (Cash)	<b>C</b> <i>CASH DIV</i>	eg. .17 (enter as 17000) five fields for cents

You should enter only DIV tickets that have codes of 00 or 11.

### STOCK CODES:

If stock is an even split then you do not need a Market Price  
eg. 2 for 1 stk split or multiples of 100% ( 200%, 300% etc)

If stock is not an even split then you will need a Market Price  
eg. 3 for 2 stk split or 25%

**Market Price** eg. 14 5/8 enter as 1462500 (5 fields for fraction)

**Withholding (W/H) rate** is usually on foreign stocks.

eg. 15% W/H rate enter as 1500

**TO ENTER DIV ANNOUNCEMENTS**

ENTER CUSIP, RECORD DATE, PAYABLE DATE, DIV CODE, CASH AMOUNT  
FOR C CODES OR SHARE SPLIT FOR S CODES OR PERCENTAGE FOR P CODES  
(AND MARKET PRICE AND W/H RATE IF NEEDED).

To Delete Div Entry --> enter cusip --> ENTER --> put D in Div/Cod

To make corrections before ENTERING --> CMD9

To update Div entry --> CMD11 --> enter cusip --> ENTER --> then  
advance to field that need correction --> ENTER (for more fields)

To browse div entries --> CMD8

To resume entry mode after browsing --> CMD9

To end entry --> CMD7

After #1 (Div entry) then do #2  
you will get 2 printouts with the same information  
--the first when you end entries  
--the second when you do #2

Give both reports to Annette along with Div tickets (make sure you  
write 'P' and 'Today's date' on each Div ticket you entered).

**A/O DIV ANNOUNCEMENTS**

**ANY DIV ANNOUNCEMENT LESS THAN CURRENT MONTH'S DATE**

To enter A/O Div announcements go to #13 MENU DIV17 (Enter/Update  
AS OF DIV)

**Note\*\***

Until further notice you can add only to the A/O Div file, you  
cannot delete nor update this file. To delete or update this file  
see Programmer (Jerry).

After entering A/O Div --> CMD7 (you will get an A/O Div report  
give to Annette).

To print A/O Div report --> #14 MENU DIV17

## PREPARING FOR MONTH END

AFTER THE LAST C/S FOR THE MONTH HAS BEEN RUN FOR THE FIRST TIME -- EVERYTHING YOU DO AFTER THIS WILL BE IN PREPARATION FOR YOUR MONTH END.

NOTE YOU MUST NOT RUN ANY C/S FOR NEW MONTH UNTIL AFTER YOU HAVE COMPLETED ALL THE MONTH END PROCEDURES. (IE AFTER CUSTOMER LEDGERS & SAVE AND MONTH END REPORTS.)

### FOR JOANNE'S 10 ACCT

WHEN JOANNE IS DONE WITH ALL HER SETUP FOR THE MONTH SHE WILL GIVE YOU 'FIDELITY BUY REPORT' SO YOU CAN SELL FCRXX

PUNCH AND RUN FIDELITY SALES AND SETTLE WITH C/S DATED THE LAST WORKING DAY OF THE MONTH.

AFTER YOU HAVE SETTLED ALL JOANNE'S WORK (ALL SETUPS, CONVERSION, SALE OF TREASURY AND SALE OF FIDELITY ETC.) THEN YOU CAN RUN A 'NOT WORKING REPORT 10 ACCT' (MENU MADF17) AND GIVE TO JOANNE.

SHE WILL CHECK THIS REPORT AND THEN GIVE YOU CORRECTIONS (IF NEEDED) AND BUYS OF TREASURY.

ONCE YOU PUNCH, RUN AND SETTLE JOANNE'S TREASURY, YOU WILL BE DONE WITH 10 ACCT FOR THE MONTH.

### FOR FRANK, JODI & ANNETTE

THEY MAY WILL USUALLY HAVE MORE TRADING & C/S BEFORE YOU ARE GIVEN PERMISSION TO RUN EOM DIVIDENDS. AFTER EOM DIV HAS BEEN RUN AND SETTLED (C/S DATED LAST WORKING DAY OF MONTH) THEY WILL ASK FOR 'NOT WORKING REPORTS' TO CHECK THEIR ACCOUNTS BEFORE GOING INTO MONTH END.

IF THEY HAVE CORRECTIONS YOU WILL GET MORE TRADING &/OR C/S TO RUN

IF NO CORRECTIONS ANNETTE/JODI WILL LET YOU KNOW WHEN TO CONTINUE WITH MONTH END

ONCE YOU ARE GIVEN THE OKAY TO CONTINUE WITH MONTH END, TAKE OUT YOUR 'MONTH END LOG' AND FOLLOW EACH STEP. (SWEEPS, C/S, \*\* MGNINT ETC.)

**\*\* NOTE \*\* CHECK WITH ANNETTE TO MAKE SURE SHE HAS UPDATED MARGIN RATE BEFORE YOU RUN MARGIN INTEREST.**

AT SOME POINT BEFORE YOU RUN STATEMENTS --> FRANK WILL ASK FOR THE PRICE REPORT (PRICRPT). THEN HE WILL GIVE YOU PRICES THAT MUST BE ENTERED (PORTPRIC) AND CHECKED (RUN ANOTHER PRICRPT AFTER ENTERING PRICES). FRANK WILL CHECK YOUR ENTRIES.

## **RUNNING END OF MONTH DIV PAYMENTS**

### **MENU DIV17**

#### **SET DATE - LAST WORKING DAY OF MONTH**

**#3 - Save Div Info (need SETUP/DIVIDEND data cartridge and label  
DIVTWO 'EOM DIV INFO' and 'run date')**

**#4 - Process Div Payments (follow computer prompts)  
DIVTHREE ask for EOM SAVE FOR PREVIOUS MONTH**

**NOTE - CAN RUN #4 ONLY ONCE**

**#5 - View / Update Div Payments  
DIVFOUR ONLY if there are corrections for div payment (usually from  
Annette/Jodi). On update screen you will access acct #  
for correction by cusip then acct# --> ENTER-->look for  
account information you wish to correct or delete--> put  
D or U in the DEL/UPDATE column then see bottom of screen  
for appropriate CMDS.**

**#6 - Save Div Payments (need SETUP/DIV data cartridge and label  
DIVFIVE 'EOM DIV PAYMENT' and 'run date')**

**#7 - Print Memos and Labels  
DIVSIX**

**#8 - Finish Processing  
DIVSEVEN**

**End of Month div procedure give the following reports:**

**Div Payment due this month - ledge in front of Annette's office  
Pending Div Payment distribution Annette - Annette's office  
List As Of Div file " " " "  
Foreign div report distribution ERWIN - give to Jodi**

**Then run C/S to settle EOM dividends**

## **WORKING WITH PRICES FILE**

**THIS FILE AFFECTS STATEMENT, PORTFOLIO AND LONGPOSTION REPORTS**

**MENU LNGPOS**

**#9 ADD/UPDATE PRICE FILE  
DFU SCREEN**

**PRICES ARE ENTERED WITH TRADING'S PRICE CODES**

**#11 PRICERPT - PRINTS PRICE REPORT FOR FRANK TO CHECK ENTRIES**

## **RUNNING SWEEPS**

### **MENU SWEEPS ( #10 MAIN MENU)**

#### **SET DATE - LAST WORKING DAY ON MONTH**

**#1** Print 'Pending Fidelity Buy' report for 10, 30, 40, 50  
Accounts

**#2** ONLY if you have to update or delete or add to pending  
fidelity buys. Correction to pending fidelity buy is done on  
a DFU screen similar to your C/S screen.

CMD10 - Entry mode  
CMD11 - Update mode  
CMD4 - Delete

**NOTE IF YOU MAKE ANY CHANGES TO PENDING FIDELITY BUYS YOU  
SHOULD NOT RUN #1 AGAIN. IF YOU DO, CHANGES MADE WILL  
BE IGNORED.**

**#3** Process fidelity --> 'Trade Blotters'

**#4** Add fidelity to pending trades --> 'Batch Stock Record"  
(FRANK)

**THEN RUN C/S TO SETTLE SWEEPS.** (this is usually your last  
C/S for the month)

**ALL REPORTS FORM SWEEPS EXCEPT THE BATCH STOCK RECORD GO ON LEDGE  
IN FRONT OF ANNETTE'S OFFICE.**



**MONTH END PROCEDURES**

DATE: LAST WORKING DAY OF MONTH	STARTING TIME	ENDING TIME	DATE
DIV			
C/S MAKE SURE MONROE TRANSFER IS DONE			
SWEEPS			
C/S			
DATE: LAST DAY OF MONTH			
MGNINT & RENAME CSHSEC17,CS17MGN (JAN THRU NOV ONLY)  DEC MGNINT MUST BE RUN - C/S			
STK REC - MENU CASH17 #6			
SPECIAL STK REC - MENU CASH17 #7			
MAKE SURE PRICES HAVE BEEN CHECKED  STATEMENTS - MENU CASH17 #13  PRINTING:  ( ) BOXES ORIGINALS - 3PT STAT ( ) BOXES DUPES 1PT STAT  ORIGINAL LABELS: DUP LABELS:			
CUSTOMER LEDGER ** AND EOM SAVE MENU CASH17 #12 PAGES:			
SEC BORROWED STATEMENTS-1PT STAT MENU CASH17 #17			

\*\*\* EOM SAVE AFTER LEDGERS - 1 FOR VAULT AND 1 FOR OFFICE \*\*\*  
\*\* SEPARATE YELLOW, RED & GRAY REPORTS FROM CUST LEDGER \*\*

**MONTH END REPORTS**

	DATE	STARTING TIME	ENDING TIME
MENU PORT #1			
KEY: PORT63			
LONGPOS - MENU LNGPOS			
LPEDIT - MENU LNGPOS			
LONGPOS3 - MENU LNGPOS (gives longpos7) PAGES:			
LONGPOS2 - MENU LNGPOS (gives longpos6) PAGES:			
LONGPOS6 (see Lngpos2)			
LONGPOS7 (see Lngpos3)			
DVP LEDGERS- KEY: CASH1733 PRINTING: PAGES:			
DVP STATEMENTS - 1PT STAT KEY: CASH1735 PRINTING: ( ) BOXES			

- \*\* AFTER LONGPOS REPORTS ARE PROCESSED YOU CAN BEGIN TO UPDATE & RUN C/S FOR NEW MONTH (FIRST C/S FOR EVERY MONTH EXCEPT JANUARY IS C/S TO STL MGN).
- \*\* AFTER MONTH END --> ORDER FORMS AND DATA CARTRIDGE FOR NEW MONTH

END OF MONTH REPORTS FOR ANNETTE'S OFFICE

PENDING DIVIDENDS (DISTRIBUTION ANNETTE)  
LIST AS OF DIVIDENDS

MARGIN INTEREST

ABBREVIATED STOCK RECORD SUMMARY  
STATEMENT OF SECURITY

SECURITY BORROWED STATEMENT AND REPORT

PORTFOLIO TRANSACTION  
NEW ACCOUNTS ADDED TO PORTFOLIO

ABBREVIATED PORTFOLIO (PORT63)

LONGPOS/STOCK REC EDIT (LPEDIT)

ABBREVIATED LONGPOS BY SYMBOL

ABBREVIATED LONGPOS BY ACCOUNT  
ABBREVIATED STOCK REC NET BY ACCT  
ABBREVIATED STOCK REC NET BY SYMBOL  
ABBREVIATED LONGPOS TOTAL

\*\*\*\* SEPARATE EACH REPORT FOR ANNETTE \*\*\*\*

NOTE ALL OTHER MONTH END REPORTS GO ON LEDGE IN FRONT OF ANNETTE'S  
OFFICE EXCEPT FOREIGN DIVIDEND REPORT FOR ERWIN -- GIVE TO JODI

**REPORTS**

**STOCK RECORD REPORTS**

**MENU CASH 17**

**#6 PRINTS STOCK RECORD SUMMARY**  
**OPTION STOCK RECORD**  
**HEDGE STOCK RECORD**  
**\* ABBREVIATED STOCK RECORD SUMMARY**  
**\* STATEMENT OF SECURITY**

**#7 PRINTS SPECIAL STOCK RECORD SUMMARY**  
**(WRITE IN PENCIL SPECIAL ON PAGE 1 OF REPORT)**

**ABBREVIATED STOCK RECORD SUMMARY FOR ANNETTE**  
**KEY: CASH1712**

**\* THESE ARE ANNETTE'S REPORTS**

## WORKING WITH LONG POSITION REPORTS

MENU LNGPOS (#1 --> #8 & #12)

- #1 LONGPOS -- UPDATES LONGPOS FILE FOR NEW MONTH
- #2 LONGPOS1 -- ALLOWS YOU TO UPDATE LONGPOS FILE  
UPDATE SCREEN IS A DFU SCREEN AND YOU WILL NEED  
RECORD # TO ACCESS THIS FILE.  
PRICES ARE ENTERED WITH TRADING'S PRICE CODES.  
DO NOT ANSWER Y TO REORGANIZE FILE UNTIL ALL  
CORRECTIONS ARE COMPLETED OR UNTIL YOU ARE READY TO  
UPDATE LONGPOS FOR NEW MONTH.
- #3 LONGPOS2 -- REPORT BY ACCOUNT #  
OPEN LONG POSITION
  - \* ABBREVIATED LONG POSITION
  - \* ABBREVIATED STOCK RECORD NET BY ACCOUNT
  - \* ABBREVIATED STOCK RECORD NET BY SYMBOL
  - \* ABBREVIATED LONG POSITION TOTAL
- #4 LONGPOS3 -- REPORT BY SYMBOL  
OPEN LONG POSITION
  - \* ABBREVIATED LONG POSITION
- #5 LONGPOS6 -- ANNETTE'S ABBREVIATED REPORTS BY ACCOUNT
- #6 LONGPOS7 -- ANNETTE'S ABBREVIATED REPORTS BY SYMBOL
- #7 LONGPOS4 -- PRINT SELECTED ACCOUNTS
- #8 LPEDIT -- \* LONGPOS/STOCK RECORD REPORT
- #12 LONG13 -- PROCESS STOCK SPLITS FOR LONGPOS CORRECTIONS  
THIS GIVES A DFU SCREEN FOR ENTRY  
(ENTER --> SYMBOL, PAYABLE DATE, S FOR SHARE SPLIT  
OR P FOR PERCENT)

\* THESE ARE ANNETTE'S REPORTS

## **WORKING WITH SPECIAL PORTFOLIO**

**MENU PORT ( #1--> #7)**

**#1 UPDATE PORTFOLIO FOR NEW MONTH  
DONE ONCE AFTER EOM  
FOLLOW COMPUTER PROMPTS FOR DATES AND DATA CARTRIDGE**

**\* NEW ACCT ADDED TO PORTFOLIO  
\* PORTFOLIO TRANSACTION  
PORTFOLIO MANAGEMENT**

**#2 MAKE CORRECTIONS TO PORTFOLIO  
GIVES PORTFOLIO CORRECTION MENU  
SELECT APPROPRIATE OPTION FOR CORRECTION  
FOR CHANGES IN PORTFOLIO/STOCK RECORD MONEY  
IF TICKET IS SLD -- DEBIT -- FIELD +  
IS BOT -- CREDIT -- FIELD -**

**#3 PRINTS PORTFOLIO MANAGEMENT REPORT**

**#5 PRINTS \* BUYING POWER REPORT**

**#7 PRINT SELECTED PORTFOLIO ACCOUNTS**

**\* ABBREVIATED PORTFOLIO MANAGEMENT REPORT FOR ANNETTE  
KEY: PORT63**

## **RUNNING MIDDLE OF MONTH PORTFOLIO**

**KEY: PORTPRO2**

**\* THESE ARE ANNETTE'S REPORTS**

## **WORKING WITH ARBITRAGE PORTFOLIO**

**MENU PORT (#8 --> #12)**

**#8 UPDATE ARBITRAGE PORTFOLIO  
FOLLOW COMPUTER PROMPTS FOR DATES AND DATA CARTRIDGE**

**NEW ACCOUNTS ADDED TO PORTFOLIO  
ARBITRAGE PORTFOLIO TRANSACTION  
ARBITRAGE PORTFOLIO MANAGEMENT**

**#9 MAKE CORRECTIONS TO ARBITRAGE PORTFOLIO  
GIVES PORTFOLIO CORRECTION MENU  
SELECT APPROPRIATE OPTION FOR CORRECTION**

**#10 PRINT ARBITRAGE PORTFOLIO MANAGEMENT REPORT**

**#12 PRINT SELECTED ARBITRAGE PORTFOLIO ACCOUNTS**

## **RUNNING MIDDLE OF MONTH ARBITRAGE PORTFOLIO**

**KEY: PORRPRO2**

## FIXING STATEMENTS

First - you need EOM data cartridge for month(s) you are working with.

Second - you must restore files for the month you are working with.

To Restore files KEY: **RSTSTMF**

There are 2 procedures to fix statement - STMTPRO3 & STMTPRO4  
When restoring files **3 restores files for STMTPRO3**  
(4 restores files for STMTPRO4)

Once files are restored KEY: **STMTPRO3**  
then follow computer prompts

Note\*\* You can make changes to the following (files):

A. Balance Forward (cashbal)	(STAMBL17)
B. Body	(STLCSH17)
C. Security Positions	(SELECT17)
D. Year To Date Interest	(YTDINT17)

You will get 4 DFU screens for each of the above  
For DFU screens

CMD10	-	Entry mode	
CMD11	-	Update mode	
CMD4	-	To Delete -->	CMD4 - To Confirm Deletion
CMD7	-	To End	
CMD1	-	To Dupe	

Broker<--->House<--->is 17  
Bought is a Debit --> entered as a (field+)  
Sold is a Credit --> entered as a (field-)

**For STAMBL17**

ENTER BROKER --> ACCT # --> BALANCE FORWARD --> CMD7

**For STLCSH17**

TO UPDATE --> STARTING WITH RECORD #1 SCROLL UP TO SEARCH FILE

FOR NEW ENTRIES --> ENTER BROKER, ACCT #, TRANS CODE, T/D, S/D (for all trans code except B/S, the T/D & S/D are the same) CUSIP (see c/s notes for codes that need cusip), SHARES, PRICE (all B/S codes need price), NET (monies), TRDNUM (trans # for B/S codes) and DESCRIPTION



**For SELECT17**

TO UPDATE --> STARTING WITH RECORD #1 SCROLL UP TO SEARCH FILE  
if you update the shares then field exit through the money  
field

FOR NEW ENTRIES --> ENTER HOUSE, ACCT #, CUSIP and SHARES

**For YTDINT17**

DO NOT UPDATE/DELETE UNLESS ANNETTE TELLS YOU TO

TO UPDATE --> ENTER ACCT # --> THEN UPDATE APPROPRIATE FIELDS

**PAPER WORK**

For each DFU screen you will get an "audit log" form type \*STD -->  
these should be shredded

Customer Ledger (2 copies) - 1PT  
DVP Ledger (2 copies) - 1PT - release and give to Annette  
even if blank

STAT - 3 PT STATEMENT  
1STA - 1 PT STATEMENT (these are duplicates and DVP  
statement, if DVP STATEMENT is blank then delete)

GIVE ALL PAPER WORK TO ANNETTE

\*\*\*\*\* NOTES \*\*\*\*\*

STMTPRO3 AND STMTPRO4 ALLOWS 2 PERSON TO WORK WITH STATEMENT  
CORRECTION

FOR SECOND PERSON CORRECTING STATEMENT  
RESTORE FILES WITH '4' THEN KEY STMTPRO4

STMTPRO4 - DOES NOT ALLOW YOU TO CHECK PAPER WORK BEFORE DELETING  
WORK FILES  
- DOES NOT ALLOW YOU TO UPDATE YEAR TO DATE INTEREST FILE

TO ADD/UPDATE PRICE FILE FOR STATEMENT CORRECTION DO THE FOLLOWING

KEY: RSTSTMF (with '3')  
then KEY: PORTPRJO --> to fix price file (DFU SCREEN)  
then KEY: STMTPRO3

STARTED USING PRICES WITH STATEMENTS FEB/93

FOR STATEMENTS BEFORE JAN/93 --> LIBRARY --> TGIFSTAT (these  
statements were printed on "short" statement forms)

## WORKING WITH 1099 FORMS

### MENU TEFRA

#3 --> #5 - PRINTS REPORTS

#9 --> #10 - PRINTS 1099 FORMS ( B, DIV, INT)

#15 --> #17 ~~ALLOWS YOU TO CORRECT 1099 FORMS~~

#21 - PRINTS MAILING LABEL FOR 1099 FORMS

*Replaced by  
option 15 (REFR23)  
for all 1099 types*

### NOTE

WHEN RELEASING 1099 FORMS CHECK WITH ANNETTE TO SEE WHICH COPY OF THE FORM WILL BE SENT OUT.

ONCE YOU KNOW WHICH COPY WILL BE SENT OUT, THAT IS THE COPY YOU WILL CHECK WHEN ALIGNING FORMS ON PRINTER. (MAKE SURE MONIES ARE NOT TOUCHING ANY LINES)